

YES	NO	10. Questionnaire (Place an "X" in the proper column)
		a. Is this the official copy of the series? If not, where is it?
		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
		c. Is this a vital record?
		d. Does this series have historical or long term research value?
		e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
		f. Is the information contained in this series ever published? If yes, attach copy.
		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
		i. Is this series (or a major portion of it) regularly microfilmed?
		j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|----------------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | _____ 5 _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

Need to extend retention period in order to maintain Bank Holding Company Records for same period of time as Bank Supervision Records.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

CONFIDENTIAL FILE: ☒ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☒ Hold in the current files area _____ month(s) _____ 2 _____ year(s); then
- ☐ Transfer to local holding area, hold _____ year(s); then
- ☒ Transfer to State Records Center; hold _____ 3 _____ year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

PUBLIC FILE: Cut off file at end of each calendar year, hold in current files area 1 year; then retire to State Archives. NOTE: File is not confidential.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
	12-2-82		12-2-82

State Records Committee (Signature)		Date
State Auditor/Designee		12/29/82
Secretary of State/Designee		12/22/82
Attorney General/Designee		

Recommendations in paragraph 12 are approved.
(If disapproved, attach letter of explanation.)



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

4388-38

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Department of Banking and Finance Bank Examination & Supervision Division 148 International Blvd. Suite 640 Atlanta, Georgia 30303	Application Number 79-134-A	
Application Number		Date Received FEB 6 1981	Date Completed FEB 11 1981
2. Person to Contact Jean Ethridge		Working Title Office Supervisor	Telephone Number 656-2050
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. <u>79-134</u> Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest Latest 7-1-76 To DATE		5. Records Series Title (followed by title used in office, if different) Bank Holding Companies File - Confidential and Public Files	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created?			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: Included are: File is arranged:			
8. Monthly Reference Rate How often are records referred to which are: One to six months old _____; Seven to twelve months old _____; Thirteen to twenty-four months old _____; twenty-five months and older _____?			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
		a. Is this the official copy of the series? If not, where is it?
		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
		c. Is this a vital record?
		d. Does this series have historical or long term research value?
		e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
		f. Is the information contained in this series ever published? If yes, attach copy.
		g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
		i. Is this series (or a major portion of it) regularly microfilmed?
		j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|--------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

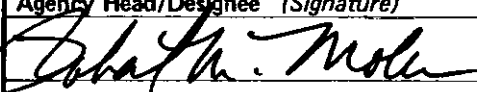




☐ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

CONFIDENTIAL FILE: Cut off file at end of each calendar year, hold in current files area 2 years; then destroy.

PUBLIC FILE: Cut off file at end of each calendar year, hold in current files area 1 year; then retire to State Archives. NOTE: Public File is not confidential.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
	2-5-81		2-5-81
		State Records Committee (Signature)	Date
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)			2-10-81
			2-9-81
			2-16-81



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Department of Banking & Finance Bank Examinations & Supervision Division 148 International Blvd. NE Suite 640 Atlanta, Ga. 30303	Application Number 79-134	
Application Number		Date Received JUL 2 1979	Date Completed JUL 20 1979
2. Person to Contact Jean Ethridge		Working Title Office Supervisor	Telephone Number 656-2050
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest _____ Latest _____ 7-1-76 Present		5. Records Series Title (followed by title used in office; if different) Bank Holding Companies File - Confidential and Public Files	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Department of Banking and Finance is responsible for supervision and regulation of State-chartered banks & trust companies, credit unions, building and loan associations, check sales companies, fiduciary investment companies, international banking agencies, business development corporations and affiliates of most of these institutions. The Bank Examination & Supervision Division is responsible for supervising and regulating the bank industry in Georgia as well as international banking agencies, fiduciary investment companies, and business development corporations operating in Georgia.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: recording Bank Holding Companies & their subsidiaries and authorizing initial and subsequent acquisitions for banking subsidiaries. Included are: copy of Federal Registration; initial State Registration (form BHC-6); Notice of Intent and applications to acquire additional banks or subsidiaries (form F.R. Y-2); Reports of Investigation; information on subsidiaries and accompanying exhibits; approval to acquire additional subsidiaries; Annual Report (Federal form F.R. Y-6) published by the Bank Holding Company, and supplements; Annual Federal Reserve System Examination Report; and general correspondence. File is arranged: Alphabetically by name of Bank Holding Company.			
8. Monthly Reference Rate How often are records referred to which are: One to six months old <u>1</u> ; Seven to twelve months old <u>1</u> ; Thirteen to twenty-four months old <u>0</u> ; twenty-five months and older <u>0</u> ?			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers <u>2</u> ; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. Ga. Code Ann. 41A-311
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
X		h. Is there a duplication of this series in your office, or in another office or agency? Portions of file duplicated If yes, where? in Board of Governor's-Federal Reserve System.
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

a. State Law	0	years.	d. Audit period	0	years.
b. Statute of limitation	0	years.	e. Administrative need	2	years.
c. Federal law	0	years.	f. Federal retention instructions	0	years.

Attach copy or excerpt of laws or regulations. Explain administrative need.

Annual reports and examinations generally duplicate important information from year-to-year. Two years needed to assure receipt of this replacement information. Federal and corporation files provide any historical information needed.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

☐ Hold in the current files area _____ month(s) _____ year(s); then

☐ Transfer to local holding area, hold _____ year(s); then

☐ Transfer to State Records Center; hold _____ year(s); then

☐ Destroy.

☐ Transfer to State Archives for permanent retention.

☒ Other (Specify)

Confidential File: Cut off at end of each calendar year, hold in current files area 1 year, then destroy.

Public File: (Includes Acquisition File, Form F.R. Y-2; and Annual Report, Form F.R. Y-6); Cut off at end of each calendar year, hold in current files area 2 years, then transfer to State Archives for permanent retention. NOTE: Public file is not a confidential record.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Edna M. Mole</i>	6-28-79	<i>Jean Ethridge</i>	6-28-79
		State Records Committee (Signature)	Date
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Auditor/Designee	7-18-79
		Secretary of State/Designee	7-16-79
		Attorney General/Designee	7-18-79